

# Memorandum

To: MPO EXECUTIVE DIRECTORS and  
DISTRICT DIRECTORS

Date: June 9, 2000

File: 2000 FTIPs

From: **DEPARTMENT OF TRANSPORTATION**  
**Transportation Programming**  
**MS-82**

Subject: FTIPs for FFY 2000/01 – 2002/03

The purpose of this memorandum is to provide guidance to Metropolitan Planning Organization (MPO) staff and Caltrans staff responsible for development and administration of the next cycle of Federal Transportation Improvement Programs (FTIPs) for Federal Fiscal Year (FFY) 2000/01 through 2002/03. The intent is to assure that we are all aware of critical deadlines and requirements for FTIPs and that we are taking advantage of opportunities to streamline the administration of FTIPs. New FTIPs should be developed consistent with the following:

**Deadlines For Adoption and Submittal:**

Federal statutes and regulations require new FTIPs to be adopted every two years. California statutes require the FTIPs to be adopted and submitted to Caltrans by August 1 of even numbered years. State statutes further require Caltrans to develop and submit the Federal Statewide STIP (FSTIP) to the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) by October 1 of even numbered years. The August 1 and October 1 deadlines are especially significant this year because the United States Department of Transportation (USDOT) will no longer allow FTIPs in air quality non-attainment areas to be temporarily extended beyond October 1, 2000, pending late submittal of FTIPs. This restriction is reflected in the April 25, 2000, Memorandum of Understanding between USDOT and the Environmental Protection Agency as well as the proposed new federal regulations for FTIPs. This restriction means that two-year-old FTIPs will lapse as of October 1, 2000.

**FTIP/FSTIP Programming Period:**

The programming period for the next FSTIP will cover the three-year period of FFY 2000/01 through 2002/03. Federal regulations (CFR 450.234 b) requires the FTIPs to be updated on a cycle compatible with the FSTIP. Each MPO should adopt their new FTIPs consistent with this cycle and programming period. For those MPOs (Monterey and Santa Barbara) which adopted new three-year FTIPs in 1999, I am requesting they adopt new three-year FTIPs consistent with the new three year FSTIP no later than November 2000. It is important that all FTIPs be consistent with the FSTIP period and cycle. This consistency will facilitate management of the FTIPs/FSTIP as well as timely project approval and delivery.


**Three Year Programming:**

In the past, some MPOs have not fully programmed all three years of their FTIPs to the level of estimated future revenues. This has been especially true for CMAQ and RSTP funds. This practice may contribute to under obligation of federal funds. In order to help assure an adequate reservoir of projects for delivery, I encourage each MPO to program all three years of FTIPs to the level of estimated future revenues.

**Streamlining FTIP/FSTIP Administration:**

At the September 20-21, 1999, Workshop on FTIP/FSTIP Management in Sacramento, staff from MPOs, FHWA and Caltrans discussed the need to streamline FTIPs and the FSTIP in order to facilitate project approval and to reduce administrative workload. Three areas of opportunity emerged from that discussion: Maximize the use of line item (lump-sum) elements in the FTIP, maximize the use of administrative amendments of the FTIPs, and develop/manage the 2000 FTIPs/FSTIP using the new California Transportation Improvement Program System (CTIPS) programming database. Software for CTIPS was released for MPO use in October 1999, and CTIPS training for MPO staff was completed in early April 2000. Lump-sum elements will be especially beneficial in managing the programming adjustments necessary for rehabilitation and enhancement projects. Administrative amendments allow limited changes in FTIPs without formal approval of Caltrans, FHWA and FTA. I encourage each MPO to take full advantage of these three opportunities as they adopt their new FTIPs. Many MPOs have already begun to use lump-sum elements and administrative amendments. Based upon the experience to date, and comments from staff at MPOs, FHWA and FTA, we have refined the guidance for lump-sum elements and administrative amendments. Copies of the refined guidance are attached. Caltrans will be using the attached guidance in its review and approval of FTIPs and FTIP amendments.

I hope my comments and this guidance will be helpful to you and your staff in developing your new FTIPs. Copies of this memorandum have been forwarded to MPO and Caltrans staff directly responsible for FTIP/FSTIP administration. If you have any questions, please contact Garland Hagen of my staff by phone at (916) 654-2983 or e-mail at [garland.hagen@dot.ca.gov](mailto:garland.hagen@dot.ca.gov).

  
JIM NICHOLAS  
Program Manager  
Transportation Programming

Attachment

c: FTIP Coordinators (MPOs)  
FTIP Coordinators (Districts)  
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BEvans  
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## **Lump Sums/Line Items\***

Lump sum items are essentially fund reservations that include all projects, grouped under a specified work function, work type and or geographic area. In developing FTIP's, within the MPO region, line item listings or lump sum categories of projects should be developed wherever possible for modest/similar projects. Lump sum eligible categories can be developed by MPO's through mutual regional consensus with its stakeholders. Caltrans has recommended a number of project categories that are eligible for lump sum listings. The list below shows potential categories that could be used by the MPO as lump sum designations in the development of its FTIP.

### Lump Sums for project types defined by Air Quality Exempt Tables 2 & 3 (40 CFR Part 93)

- Railroad Crossing Projects (non-capacity increasing)
- Transportation Enhancement Activities (TEA)
- Highway Hazard Elimination
- Shoulder Improvements
- Traffic Control Devices
- Adding Medians
- Truck Climbing Lanes outside the urbanized area
- Lighting Improvements
- Widening narrow pavements with no additional travel lanes
- Reconstructing bridges with no additional travel lanes
- Bicycle and Pedestrian Facilities
- Intersection Channelization
- Interchange Reconfiguration

### Lump Sums as defined by the interagency consultation process between the MPOs and the implementing agencies, for example:

- Emergency Repair beyond the Federal ER program
- SHOPP Reservation (Projects that are Air Quality Exempt)
- Transportation System Management (TSM)
- Toll Bridge Retrofit
- Seismic Retrofit
- Minor Safety and Hazard Projects
- Pavement Rehabilitation
- Freeway Service patrol
- Preliminary Engineering
- Bridge Replacement and Retrofit

**NOTE: All projects in lump sums should be exempt from air quality conformity determination. These projects are listed in 40 CFR Part 93.126 and 127.**

\*Categorically exempt projects that are not considered to be of appropriate scale for individual identification in a given program year may be grouped by function, work type, and/or geographic area (23 CFR 450.216(b) and 450.324(l)).

## **Administrative Amendments**

Administrative amendments must be consistent with the requirements in 23 CFR 450.

Following is the criteria for the administrative amendments:

- Changes in project description that do not change scope or conflict with environmental document.
- Minor changes to project cost, schedule and limits as shown below:

### Project cost:

- Maximum change in cost = 20% of the total project cost but not more than \$2 million.
- Shifting funds between project phases within triennial element.

### Project Schedule:

- Changes in schedule within the current FTIP triennial cycle are allowed. Moving a project from "beyond years or outside the current triennial element" to "current FTIP cycle" or vice versa requires a formal amendment.

### Project Limits:

- ½ mile for project length less than 5 miles.
- 10% of the length for project length greater than 5 miles, not to exceed a total of 2 miles beyond project limits.
- Consistent with limits in project environmental document.
- Changes in funding sources including federal funds.
- Fiscal year changes to projects within the triennial element.
- Moving funds within the current triennial element is allowed. Moving funds from outside the triennial element ("beyond years") requires a formal amendment.
- No addition or deletion of projects.
- No changes to lump sum or line item amounts or descriptions.
- Does not affect air quality.
- Does not affect the timely implementation of the TCM's.
- Does not impact financial constraint.
- Caltrans will acknowledge receipt of administrative amendments and transmit copies to FHWA and FTA.
- Notification to Caltrans, FHWA and FTA is required before federal authorization for funding can be approved. Approval from Caltrans, FHWA, and FTA is not required.